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GR/2164

ATTORNEY'S DOCKET NO. E0358/7003

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Srinivasan  
Serial No: 10/010,767  
Filed: December 4, 2001  
For: SYSTEM AND METHOD FOR SYNDICATION OF FINANCIAL OBLIGATIONS  
Examiner: not yet known  
Art Unit: 2164

COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

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FEB 01 2002

Technology Center 2100

Sir:

Transmitted herewith is/are the following document(s):

- Information Disclosure Statement, Form PTO-1449 and References  
 Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is enclosed. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,



Robert E. Hunt  
Reg. No. 39,231  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210-2211  
(617) 720-3500

Docket No. E0358/7003

January 22, 2002

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ATTORNEY'S DOCKET NO: E0358/7003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Venkatesan Srinivasan.  
Serial No: 10/010,767  
Filed: December 4, 2001  
For: System and Method for Syndication of Financial Obligations  
Examiner:  
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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 22 day of

January, 2002

Commissioner for Patents  
Washington, D.C. 20231

**STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

**PART I: Compliance with 37 C.F.R. §1.97**

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

**PTA**

[ ] **Each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart application and this communication was not received by the office of the undersigned more than 30 days prior to filing of this Information Disclosure Statement.**

PART II: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

The Applicant hereby makes the following additional information of record in the above-identified application.

The applicant would like to bring to the Examiner's attention the following co-pending applications that may contain subject matter related to this application:

<u>Serial No.</u>	<u>Filing Date</u>	<u>Title of Application</u>	
09/684,208	October 6, 2000	Method and Apparatus for Processing Financial Applications	✓
10/010,768	December 4, 2001	Method and Apparatus for Intelligent, Scalable Communications in a Multi-Asset Financial Fulfilment Network	✓

[NOTE - Must provide a copy of any pending U.S. application, even if it was previously submitted to the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]

PART III: Explanation of Non-English Language References and Remarks Concerning Other Information Cited

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):

The following are remarks concerning the other information cited:

PART IV: Remarks

Documents cited on the attached form PTO-1449 (modified) are enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;

2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

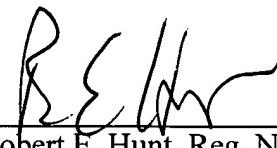
Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

*Venkatesan Srinivasan, Applicant(s)*

By:

  
\_\_\_\_\_  
Robert E. Hunt, Reg. No. 39,231  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Telephone (617) 720-3500

Docket No. E0358/7003  
Dated: January 22, 2002

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FORM PTO-1449/A and B (Modified)			APPLICATION NO.: 10/010,767	ATTY. DOCKET NO.: E0358/7003
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			FILING DATE: December 4, 2001	
			APPLICANT: Venkatesan Srinivasan	
			GROUP ART UNIT: 2164	EXAMINER:
 Sheet 1 of 2				

#### U.S. PATENT DOCUMENTS

Examiner's Initials#	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		4,598,367*		DeFrancesco et al.	07-01-1986
		4,736,294*		Gill et al.	04-05-1988
		4,736,320*		Bristol	04-05-1988
		4,914,587*		Clouse	04-03-1990
		5,202,826*		McCarthy	04-13-1993
		5,212,789*		Rago	05-18-1993
		5,231,571*		D'Agostino	07-27-1993
		5,239,462*		Jones et al. <i>Technology Center 2100</i>	08-24-1993

#### FOREIGN PATENT DOCUMENTS

Examiner's Initials#	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/Country	Number	Kind Code			
		JP	11-96247*		Seki et al.	04-09-1999	Y

#### OTHER ART — NON PATENT LITERATURE DOCUMENTS

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. 09/684,208 , filed October 6, 2000 , and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]

<b>FORM PTO-1449/A and B (Modified)</b>  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>	APPLICATION NO.:	10/010,767
	FILING DATE:	December 4, 2001
	APPLICANT:	Venkatesan Srinivasan
	GROUP ART UNIT:	2164
Sheet <b>PAT</b> 2 of 2	EXAMINER:	

## **U.S. PATENT DOCUMENTS**

**EXAMINER** \_\_\_\_\_ **DATE CONSIDERED** \_\_\_\_\_

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